

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:  
SERIAL NO.  
FILING DATE:  
INVENTION:

UGAJIN  
Not yet assigned  
January 10, 2002  
"Fractal Structure and Its Forming Method"

ATTORNEY DOCKET NO. 09794353-0019  
GRANT UNIT: Not yet assigned  
EXAMINER: Not yet assigned

10/030857

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

HON. ASSISTANT COMMISSIONER OF PATENTS  
Washington, D.C. 20231

531 Rec'd PCT/

10 JAN 2002

Sir:

Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

- ☒ Within 3 months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)
- ☐ After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.
  - ☐ Payment for the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or
  - ☐ The certification specified in 37 C.F.R. §1.97(e) is made below. (No fee is required.)
- ☐ After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) a notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but **before** payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.
- ☐ The undersigned counsel for applicant(s) hereby certifies each item of information identified in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover any required fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 19-3140. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

SONNENSCHN NATH & ROSENTHAL

By David R. Metzger, Reg. 32,919

David R. Metzger  
Sonnenschein, Nath & Rosenthal  
P.O. Box 061080  
Wacker Drive Station, Sears Tower  
Chicago, Illinois 60606  
Telephone (312) 876-8000

When phoning re this application,  
please call (312) 876-8000

CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement is being deposited with the United States Postal Service in an envelope addressed to the Asst. Comm. for Patents; Box PCT; Washington, DC as Express Mail bearing Label No EL676987015US on January 10, 2002

Paula M. Theismann  
Paula M. Theismann

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT

APPLICANT(S): UGAJIN, R. et al DOCKET NO.: 09794353-0019  
SERIAL NO.: Unknown GROUP ART UNIT: Unknown  
DATE FILED: January 10, 2002 EXAMINER: Unknown  
INVENTION: "FRACTAL STRUCTURE AND ITS FORMING METHOD"

Hon. Assistant Commissioner for Patents

Washington, DC 20231

S I R:

In accordance with the provisions of 37 C.F.R. § 1.56, Applicants request that citation and examination of the references identified on the attached PTO-1449 form, copies of which are enclosed herewith in accordance with 37 C.F.R. § 1.98, be made during the course of examination of the above-referenced application for United States Letters Patent.

I. SUBMITTED FOREIGN PATENT REFERENCES

<u>Number</u>	<u>Country</u>	<u>Date of Publication</u>
JP 11-195801 (English abstract only)	JP	July 21, 1999
JP 06-5921 (English abstract only)	JP	January 14, 1994
JP 06-5912 (English abstract only)	JP	January 14, 1994

II. EXPLANATION OF RELEVANCE

The above-identified references were cited in Japanese Patent Office Search Report of August 21, 2001 in counterpart PCT/JP01/04252. A copy of the Search Report is submitted herewith.

Submitted by,



(Reg. 32,919)

David R. Metzger

SONNENSCHN NATH & ROSENTHAL

P.O. Box 061080

Wacker Drive Station

Sears Tower

Chicago, IL 60606-1080

Telephone: 312/876-8000

Attorneys for Applicant(s)

Form PTO-1449 (Rev. 8-88)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No.9794353-00019		Serial No. N/A <b>10/030857</b>		
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				Applicant Ugajin, Ryuichi				
				Filing Date January 10, 2002		Group: N/A		
U.S. PATENT DOCUMENTS								
Examiner Initial*		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
FOREIGN PATENT DOCUMENTS								
		Document Number	Date		Class	Subclass	Translation	
							Y e s	No
		JP 11-195801 (English abstract only)	07/21/99					x
		JP 06-5921 (English abstract only)	01/14/94					x
		JP 06-5912 (English abstract only)	01/14/94					x
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
Examiner					Date Considered			
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								